

|  |  |           |
|--|--|-----------|
| <b>Department of Health &amp; Welfare</b><br><b>Bureau of Facility Standards</b><br><b>Residential Care and Assisted Living Checklist</b>  | Version Date: 5/06<br>Page 1 of 4<br><br><b>Checklist #9</b> |           |
| <b>Functional Area: Records</b>  | Yes = In Compliance<br>No = Further Action                   |           |
| <b>Objective:</b> Ensure facilities maintain accurate, complete and authenticated records.   |  |           |
| <b>Specific Criteria</b>   | <b>Yes</b>   | <b>No</b> |
| <b>Policy and Procedure: IDAPA 16.03.22.153.03</b><br>1. Does the facility have policies and procedures about who staff are to notify and how staff are to notify of any changes in residents' health or mental status (such as illness or injury, or decline in status)?<br>{IDAPA 16.03.22.153.03}   |  |           |
| <b>Policy and Procedure: IDAPA 16.03.22.159.01</b><br><b>Complete and Accurate Records</b><br>1. Has the facility developed written policies and procedures to assure complete, accurate, and authenticated records? {IDAPA 16.03.22.159.01}   |  |           |
| <b>Policy and Procedure: IDAPA 16.03.22.159.02 Electronic Records</b><br>1. If electronic records or electronic signatures are created, does the facility have written policies in place to assure the following:<br>a. Proper security measures to protect the use of an electronic signature by anyone other than the person to which the electronic signature belongs?<br>b. The privacy and integrity of the record?<br>c. Which records will be maintained and signed electronically?<br>d. How an e-signature code is assigned, and how the code and associated staff identities are protected?<br>e. How passwords are assigned and the frequency for which they are changed?<br>f. Allows resident access to his records within 1 business day of the request?<br>g. Allows immediate access to records by surveyors, and others who are authorized by law?<br>{IDAPA 16.03.22.159.02} |  |           |
| <b>Requirements: IDAPA 16.03.22.330.01</b><br><b>Individual Resident Care Record</b><br>1. Does the facility maintain an individual resident care record for each admission with all entries kept current, dated and signed?<br>{IDAPA 16.03.22.330.01}  |  |           |
| 2. Are all paper records readable and in ink?<br>{IDAPA 16.03.22.330.01}   |  |           |
| <b>Requirements: IDAPA 16.03.22.330.02 Resident Record Retention</b><br>1. Are the records preserved in a safe location protected from fire, theft, and water damage for a period of not less than 3 years?<br>{IDAPA 16.03.22.330.02}   |  |           |
| <b>Requirements: IDAPA 16.03.22.330.03 Resident Record Confidentiality</b><br>1. Does the facility safeguard resident information against loss, destruction, or unauthorized use?<br>{IDAPA 16.03.22.330.03}   |  |           |

| Specific Criteria   | Yes | No |
|---|-----|----|
| <b>Requirements: IDAPA 16.03.22.330.04 Staff Access and IDAPA 16.03.22.700.02 Availability of Records</b><br>1. Are resident care records of current residents available to direct care staff at all times? {IDAPA 16.03.22.330.04 & 700.02}  |     |    |
| <b>Requirements: IDAPA 16.03.22.330.05 and IDAPA 16.03.22.700.03 Electronic Records</b><br>1. Can the facility print electronic records at the request of the resident, legal guardian, payer, or survey agency? {IDAPA 16.03.22.330.05}  |     |    |
| <b>Requirements: IDAPA 16.03.22.330.06 Accessibility of Records to Survey Staff</b><br>1. Do survey staff have complete and immediate access to resident and facility records? {IDAPA 16.03.22.330.06}  |     |    |
| <b>Requirements: IDAPA 16.03.22.700.01 Records Information</b><br>1. Does the record entries include date, time, name, and title of the person making the entry? {IDAPA 16.03.22.700.01}  |     |    |
| 2. Do staff sign each entry made by them during their shifts? {IDAPA 16.03.22.700.01}   |     |    |
| <b>Requirements: IDAPA 16.03.22.710 Resident Care Records</b><br>1. Does the administrator assure the policies and procedures for resident care records are implemented and meet the requirements? {IDAPA 16.03.22.710}   |     |    |
| 2. Does the administrator include the following in the records for admission:<br>a. Name?<br>b. Permanent address, if other than the facility?<br>c. Marital Status?<br>d. Gender?<br>e. Date and Place of Birth?<br>f. Name and address of emergency contact(s)?<br>g. Admission date and where admitted from? {IDAPA 16.03.22.710}  |     |    |
| 3. Does the administrator include the following information about providers of choice, including address and telephone numbers, in the records for admission:<br>a. Physician or authorized provider?<br>b. Dentist?<br>c. Pharmacy?<br>d. Others - such as, outside service providers, home health, hospice, psychosocial services rehabilitation specialist, case manager? {IDAPA 16.03.22.710} |     |    |
| 4. Does the administrator include the resident's religious affiliation, if the resident chooses to state, in the resident's record? {IDAPA 16.03.22.710}  |     |    |
| 5. Does the administrator include results of a history and physical examination performed by a physician or authorized provider, within 6 months prior to admission, in the records for admission? {IDAPA 16.03.22.710}   |     |    |
| 6. Does the administrator include a list of medications, diet, treatments, and any limitations, prescribed for the resident that is signed and dated by a physician or authorized provider giving the order in the records for admission? {IDAPA 16.03.22.710}  |     |    |

| Specific Criteria   | Yes | No |
|---|-----|----|
| 7. Does the administrator include social information, obtained by the facility through interviews with the resident, family, legal guardian, conservator or outside service provider; and the information must include the resident's social history, hobbies, and interests in the records for admission? {IDAPA 16.03.22.710}   |     |    |
| 8. Does the administrator include the resident's initial uniform assessment in the records for admission? {IDAPA 16.03.22.710}  |     |    |
| 9. Does the administrator include the resident's initial signed and dated Interim Plan and Negotiated Service Agreement in the records for admission? {IDAPA 16.03.22.710}  |     |    |
| <b><u>Ongoing Resident Care Records</u></b><br><b>In addition to those rules noted on other checklists, which are related to specific facility processes, the following are rule items to consider in your quality improvement efforts.</b>   |     |    |
| <b>Requirements: IDAPA 16.03.22.711.03 Involuntary Discharge</b><br>1. Does the administrator assure the facility maintains records documenting the following:<br>a. The facility's efforts to resolve situations related to involuntary discharges?<br>b. A copy of each of the signed and dated notices of discharge? {IDAPA 16.03.22.711.03}   |     |    |
| <b>Requirements: IDAPA 16.03.22.711.07 Outside Services Care Plans</b><br>1. Does the administrator assure the facility maintains signed and dated copies of all care plans prepared by outside service agencies, if appropriate, to include who is responsible for the integration of care and services? {IDAPA 16.03.22.711.07}   |     |    |
| <b>Requirements: IDAPA 16.03.22.711.08 Care Notes</b><br>1. Does the administrator assure the facility maintains care notes that are signed and dated by the person providing the care and services, and do they include:<br>a. When the Negotiated Service Agreement is not followed, such as resident refusal, and the facility's response?<br>b. Delegated nursing tasks, such as treatments, wound care, and assistance with medications?<br>c. Unusual events such as incidents, reportable incidents, accidents, altercations and the facility's response?<br>d. Calls to the physician or authorized provider, reason for the call, and the outcome of the call?<br>e. Notification of the licensed professional nurse of a change in the resident's physical or mental condition?<br>f. Notes of care and services provided by outside contract entities, such as nurses, home health, hospice, case managers, psychosocial rehabilitation specialists, or service coordinator? {IDAPA 16.03.22.711.08} |     |    |

| Specific Criteria   | Yes | No |
|---|-----|----|
| <b>Requirements: IDAPA 16.03.22.711.14 Discharge Information</b><br>1. Does the administrator assure the facility documents in the resident's record the date of discharge, location where the resident was discharged, and disposition of the resident's belongings?<br>{IDAPA16.03.22.711.14} |     |    |

**The check lists can be used as a quality improvement tool and are offered as a helpful guide.**

**They do not take the place of the rule requirements.**

**It is highly recommended that the check lists be used in conjunction with the rules themselves.**